



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/062,299	01/31/2002	Leroy E. Hood	P-IS 5150	2563
7590 02/24/2004				
CAMPBELL & FLORES LLP 7th Floor 4370 La Jolla Village Drive San Diego, CA 92122			EXAMINER SMITH, CAROLYN L	
			ART UNIT 1631	PAPER NUMBER

DATE MAILED: 02/24/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

10/062,299

Applicant(s)

HOOD ET AL.

Examiner

Carolyn L Smith

Art Unit

1631

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 25 November 2003.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-49 is/are pending in the application.
- 4a) Of the above claim(s) 1-21 and 36-49 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 22-35 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☒ Claim(s) 1-49 are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |                                                                                                    |                                                                             |
|----------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)                        | 4) <input type="checkbox"/> Interview Summary (PTO-413)                     |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)               | Paper No(s)/Mail Date. _____                                                |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| Paper No(s)/Mail Date <u>122002 and 092003</u> .                                                   | 6) <input type="checkbox"/> Other: _____                                    |

### **DETAILED ACTION**

Applicants' election with traverse of Group III (claims 22-35), filed 11/25/03, are acknowledged. Claims 1-21 and 36-49 are withdrawn from consideration as being drawn to non-elected Groups.

Applicants' traversal is on the grounds that Group III is patentably distinct from Group I but a search of claims Group III will result in art relevant to the claims of Group I.

The applicants' request to combine Groups I and III into one invention was found unpersuasive because of the following reasons (summarized from the restriction paper):

Groups I and III have definite differences within their steps. For example, Group I is directed to the determination of a multidimensional coordinate point before comparison to a reference data element region. Meanwhile, the steps of Group III are directed to determining a perturbed shape space and then identifying a multidimensional coordinate point that is altered between reference and perturbed multidimensional shape spaces. These different approaches clearly demonstrate the presence of non-overlapping material which are separately characterized and published in literature, thus adding to the search burden if they were examined together. These differences illustrate distinct differences that affect the outcome of the methods making them different with divergent subject matter that supports the requirement for restriction.

The requirements are still deemed proper and are therefore made FINAL.

The information disclosure statement, filed 09/22/03, has been considered.

The information disclosure statement (IDS), filed 12/26/02, fails to comply with the provisions of 37 CFR 1.97, 1.98, and MPEP § 609, because two of the documents obtained from

the genelogic website (page 3 of the IDS) lacks the dates the documents were publicly available on the website (the date of printing the document does not suffice). These documents have been placed in the application file, but the information referred to therein has not been considered as to the merits. Applicant is advised that the date of any re-submission of any item of information contained in this information disclosure statement or the submission of any missing element(s) will be the date of submission for purposes of determining compliance with the requirements based on the time of filing the statement, including all certification requirements for statements under 37 CFR 1.97(e). See MPEP § 609, ¶ C(1).

Claims herein under examination are 22-35.

***Claim Rejections - 35 USC § 101***

35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

Claims 22-35 are rejected under 35 U.S.C. 101 because the claims are directed to non-statutory subject matter. As written, the claims encompass computer-related methods that appear to lack any physical result performed outside of a computer. For example, in claim 22, part (a), is directed to a reference biological system that is perturbed. This perturbation may be interpreted to be either in a computer simulation or as a perturbation only in a computer simulated biological system. As claim 22 can be interpreted to encompass a perturbation activity

in said part (a) only within a computer without any physical transformation outside of a computer, this is considered non-statutory subject matter.

As stated in MPEP § 2106, (IV)(B)(2)(b), to be statutory, a claimed computer-related process must either: (A) result in a physical transformation outside the computer for which a practical application in the technological arts is either disclosed in the specification or would have been known to a skilled artisan (discussed in MPEP § 2106 (IV)(B)(2)(b)(i)), or (B) be limited to a practical application within the technological arts (discussed in MPEP § 2106 (IV)(B)(2)(b)(ii)).

As stated in MPEP § 2106 (IV)(B)(2)(b)(i), the independent physical acts may be post- or pre-computer processing activity as described below:

A process is statutory if it requires physical acts to be performed outside the computer independent of and following the steps to be performed by a programmed computer, where those acts involve the manipulation of tangible physical objects and result in the object having a different physical attribute or structure. *Diamond v. Diehr*, 450 U.S. at 187, 209 USPQ at 8. Thus, if a process claim includes one or more post-computer process steps that result in a physical transformation outside the computer (beyond merely conveying the direct result of the computer operation), the claim is clearly statutory.

Another statutory process is one that requires the measurements of physical objects or activities to be transformed outside of the computer into computer data (In re Gelnovatch, 595 F.2d 32, 41 n.7, 201 USPQ 136, 145 n.7 (CCPA 1979) (data-gathering step did not measure physical phenomenon); *Arrhythmia*, 958 F.2d at 1056, 22 USPQ2d at 1036), where the data comprises signals corresponding to physical objects or activities external to the computer system, and where the process causes a physical transformation of the signals which are intangible representations of the physical objects or activities. *Schrader*, 22 F.3d at 294, 30 USPQ2d at 1459 citing with approval *Arrhythmia*, 958 F.2d at 1058-59, 22 USPQ2d at 1037-38; *Abele*, 684 F.2d at 909, 214 USPQ at 688; In re Taner, 681 F.2d 787, 790, 214 USPQ 678, 681 (CCPA 1982).

As stated in MPEP § 2106 (IV)(B)(2)(b)(ii), the computer-related process may be limited to a practical application in the technological arts as described below:

Art Unit: 1631

There is always some form of physical transformation within a computer because a computer acts on signals and transforms them during its operation and changes the state of its components during the execution of a process. Even though such a physical transformation occurs within a computer, such activity is not determinative of whether the process is statutory because such transformation alone does not distinguish a statutory computer process from a nonstatutory computer process. What is determinative is not how the computer performs the process, but what the computer does to achieve a practical application. See *Arrhythmia*, 958 F.2d at 1057, 22 USPQ2d at 1036.

Claims 22-35 do not fulfill either of these statutory requirements and are therefore rejected under 35 U.S.C. 101 because the claims are directed to non-statutory subject matter.

Claims 22-35 are rejected under 35 U.S.C. 101 because the claims are directed to non-statutory subject matter. As written, the claims appear to be directed to a method that merely manipulates numbers, abstract concepts or ideas, or signals representing any of the foregoing.

As stated in MPEP § 2106, (IV)(B)(1), if the “acts” of a claimed process manipulate only numbers, abstract concepts or ideas, or signals representing any of the foregoing, the acts are not being applied to appropriate subject matter. *Schrader*, 22 F.3d at 294-95, 30 USPQ2d at 1458-59. Thus, a process consisting solely of mathematical operations, i.e., converting one set of numbers into another set of numbers, does not manipulate appropriate subject matter and thus cannot constitute a statutory process.

In practical terms, claims define nonstatutory processes if they:

- consist solely of mathematical operations without some claimed practical application (i.e., executing a “mathematical algorithm”); or
- simply manipulate abstract ideas, e.g., a bid (*Schrader*, 22 F.3d at 293-94, 30 USPQ2d at 1458-59) or a bubble hierarchy (*Warmerdam*, 33 F.3d at 1360, 31 USPQ2d at 1759), without some claimed practical application.

Claims 22-35 do not fulfill any of these statutory requirements and are therefore rejected under 35 U.S.C. 101 because the claims are directed to non-statutory subject matter.

***Claim Rejections – 35 U.S.C. 112, First Paragraph***

The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

Factors to be considered in determining whether a disclosure would require undue experimentation have been summarized in *Ex parte Forman*, 230 USPQ 546 (BPAI 1986) and reiterated by the Court of Appeals in *In re Wands*, 8 USPQ2d 1400 at 1404 (CAFC 1988). The factors to be considered in determining whether undue experimentation is required include: (1) the quantity of experimentation necessary, (2) the amount or direction presented, (3) the presence or absence of working examples, (4) the nature of the invention, (5) the state of the prior art, (6) the relative skill of those in the art, (7) the predictability or unpredictability of the art, and (8) the breadth of the claims. The Board also stated that although the level of the skill in molecular biology is high, the results of experiments in genetic engineering are unpredictable. While all of these factors are considered, a sufficient amount for a *prima facie* case are discussed below.

**LACK OF SCOPE OF ENABLEMENT**

Claims 22-35 are rejected under 35 U.S.C. § 112, first paragraph, because the specification, while being enabling for certain aspects of assigning a cellular function to a

component, does not reasonably provide enablement for such an assignment of any cellular function. The specification does not enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and/or use the invention commensurate in scope with these claims.

The method steps of these claims involve assigning a cellular function to a component via analysis of data involved with a perturbed state. One skilled in the art would be able to reasonably conclude that a difference in data for a component between a reference and perturbed state could be linked to the perturbed state. However, the last two lines of independent claims 22, 24, and 30 are broadly written to encompass an assignment of any cellular function to the component that is not necessarily linked to the perturbed network or pathway. In order to assign a cellular function to the claimed component in these methods, one skilled in the art would need to perform undue experimentation to determine if the component could reasonably be assigned to a cellular function outside of what is considered the perturbed network or pathway. Due to the unpredictability of determining functions of components such as nucleic acids and polypeptides, the amount of experimentation required to determine such functions, and the lack of guidance provided in the specification, one of skill in the art would not be able to make and use the claimed invention beyond assigning a function linked directly to the perturbed network or pathway. Therefore, these claims are rejected under a lack of scope of enablement.

***Claim Rejections – 35 USC §102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:



A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

Claims 22-35 are rejected under 35 U.S.C. 102(b) as being anticipated by Stoughton et al. (P/N 6,132,969).

Stoughton et al. disclose laboratory and computer methods for testing and confirming how well a network model represents a biological pathway in a biological system (abstract). Stoughton et al. disclose the network comprises logical operators relating to input cellular constituents (components), such as mRNA and proteins, to output classes of cellular constituents which are affected by the pathway (abstract), which represents assigning a cellular function to components (col. 10, line 61 to col. 11, line 2), as stated in instant claims 22, 24, and 30. Stoughton et al. disclose comparing relative changes (normal versus perturbed) in the biological system in response to perturbations of the network (abstract and col. 8, lines 40-41 and col. 8, line 64 to col. 9, line 12). Stoughton et al. disclose predicting how output classes behave in response to the chosen experiments by finding measures (multidimensional coordinate points) of relative change of cellular constituents (components) and finding goodnesses of fit (“the conformity between an experimental result and theoretical expectation”, according to Merriam-Webster’s online dictionary) of each observed component to an output class (reference data element region) based on strongest correlations (abstract), which represent a linkage to the perturbed biochemical network. Stoughton et al. disclose determining the overall goodness of fit of the network model (network-associated expression region) from the individual goodnesses of fit of each observed component (abstract), which represents determining the multidimensional coordinate point of the network via the set of components, as stated in instant claim 24.

Art Unit: 1631

Stoughton et al. disclose observing a system's response to known inputs via gene expression and/or protein abundances (col. 2, first paragraph), as stated in instant claims 23, 26, 28, 29, 32, 34, and 35. Stoughton et al. disclose the biological system as a cell, organism, and patient (col. 5, line 67 to col. 6, line 1), as stated in instant claims 25 and 31.

Thus, Stoughton et al. anticipate the limitations in claims 22-35.

### *Conclusion*

No claim is allowed.

Papers related to this application may be submitted to Technical Center 1600 by facsimile transmission. Papers should be faxed to Technical Center 1600 via the PTO Fax Center located in Crystal Mall 1. The faxing of such papers must conform to the notices published in the Official Gazette, 1096 OG 30 (November 15, 1988), 1156 OG 61 (November 16, 1993), and 1157 OG 94 (December 28, 1993) (See 37 CFR §1.6(d)). The CM1 Fax Center number is (703) 872-9306.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Carolyn Smith, whose telephone number is (571) 272-0721. The examiner can normally be reached Monday through Thursday from 8 A.M. to 6:30 P.M.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Michael Woodward, can be reached on (571) 272-0722.

Any inquiry of a general nature or relating to the status of this application should be directed to Legal Instruments Examiner Tina Plunkett whose telephone number is (571) 272-0549 or to the Technical Center receptionist whose telephone number is (703) 308-0196.

Application/Control Number: 10/062,299

Page 10

Art Unit: 1631

February 17, 2004

  
ARDIN H. MARSCHEL  
PRIMARY EXAMINER